

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary) Sheet 1 of 1	ATTY. DOCKET NO. D5009-00028	APPLICATION NO. 09/916,358
	FIRST NAMED APPLICANT Loeper	EXAMINER n/a
	FILING DATE 07/27/2001	GROUP 2164

RECEIVED**MAR 11 2002****U.S. PATENT DOCUMENTS**

Technology Center 2100

EXAMINER INITIALS	Cite No.	DOCUMENT NUMBER	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
CKE	AA	6,085,175	Gugel et al.	07-04-2000	
	AB	6,021,397	Jones et al.	02-01-2000	
	AC	5,812,988	Sandretto	09-22-1998	
	AD	6,253,192	Corlett et al.	06-26-2001	
	AE	5,802,501	Graff	09-01-1998	
CKE	AF	5,774,881	Friend	06-30-1998	

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
CKE	AG	Ellen Jovin, "New Software, New Sophistication", Financial Planning, pp. 1-6, 1998	

EXAMINER SIGNATURE	<i>Charles R. Joffe</i>	DATE CONSIDERED	10/12/01
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				ATTY DOCKET NO. D5009-00028		APPLICATION NO. 09/916.358	
				APPLICANT(S) Loeper			
				FILING DATE 7/27/2001		GROUP ART UNIT 2164	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>CRK</i>	A	5,291,398	3/1/1994	Hagan	364	408	
	B	5,193,056	3/9/1993	Boes	364	408	
	C	4,953,085	8/28/1990	Atkins	364	408	
	D	6,078,904	6/20/2000	Rebane	705	036	
<i>CRK</i>	E	6,064,984	5/16/2000	Ferguson et al.	705	036	

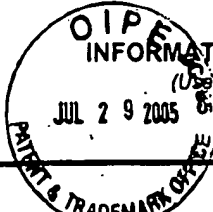
U.S. PATENT APPLICATION PUBLICATIONS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>CRK</i>	F	US2002/0138386 A1	9/26/2002	Maggioncalda et al.	705	036	7/12/2001
	G	US2001/0014873 A1	8/16/2001	Henderson et al.	705	035	1/27/1999
	H	US2002/0091604 A1	7/11/2002	Loeper	705	036	11/5/1999
<i>CRK</i>	I	US2004/0133497	7/8/2004	Spear	705	036	12/18/2003

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<i>CRK</i>	J	EP1 283 488 A1	7/2001	CH	G06F 17/6			✓

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
<i>CRK</i>		K	"Planners Must Tailor Mutual Fund Mix to Suit Client"; Financial Services Week, August 1990, pp. 23, ISSN: 0895-8440

EXAMINER <i>Charles R. Loeper</i>	DATE CONSIDERED <i>10/17/05</i>
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				Loeper				
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U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
OK	L	6,058,376	5/2/2000	Crockett	705	035		
	M	6,012,043	1/4/2000	Albright et al.	705	036		
	N	5,987,433	11/16/1999	Crapo	705	036		
	O	5,615,109	3/25/1997	Eder	395	208		
OK	P	5,644,727	7/1/1997	Atkins	395	240		
U.S. PATENT APPLICATION PUBLICATIONS								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
OK	Q	US2004/0172357 A1	9/2/2004	Padgett	705			
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
EXAMINER				DATE CONSIDERED				
<i>Charles R. [Signature]</i>				<i>10/17/05</i>				
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Loeper

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7/27/2001

GROUP ART

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
call	R	5,852,811	12/22/1998	Atkins	705	036	
	S	5,933,815	8/3/1999	Golden	705	035	
	T	5,864,828	1/26/1999	Atkins	705	036	
	U	5,911,136	6/8/1999	Atkins	705	036	
urk	V	5,911,135	6/8/1999	Atkins	705	036	

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

call		W	LARRY BIERWIRTH, "Investing in retirement: Using the Past to Model the Future", Journal of Financial Planning, v7n1, January 1994, 6 pages

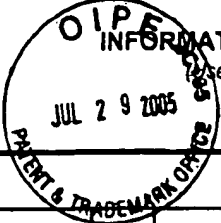
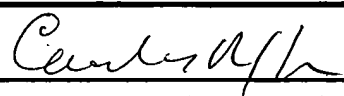
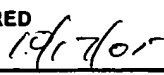
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AA	5,884,285	3/16/1999	Atkins	705	036			
BB	5,884,283	3/16/1999	Manos	705	030			
CC	5,875,435	2/23/1999	Brown	705	030			
DD	5,918,217	6/29/1999	Maggioncalda et al.	705	036			
EE	5,819,263	10/6/1998	Bromley et al.	707	003			
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cdk	FF	5,878,405	3/2/1999	Grant et al.	705	039	
	GG	5,875,437	2/23/1999	Atkins	705	040	
	HH	6,021,397	2/1/2000	Jones et al.	705	036	
	II	6,340,542	1/22/2002	Inoue et al.	430	005	
cdk	JJ	5,903,879	5/11/1999	Mitchell	705	038	

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 <p>INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)</p>	Docket Number (Optional) D5009-00028	Application Number 09/916,358
	Applicant(s) Loeper	
	Filing Date 7/27/2001	Group Art Unit 2164

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AK	KK	6,012,044	1/4/2000	Maggioncalda et al.	705	036	
	LL	6,564,191	5/13/2003	Reddy	705	036	
	MM	5,946,667	8/31/1999	Tull, Jr. et al.	705	036	
	NN	6,298,334	10/2/2001	Burfield et al.	705	036	
AK	OO	6,026,381	2/15/2000	Barton, III et al.	705	035	

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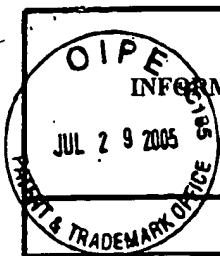
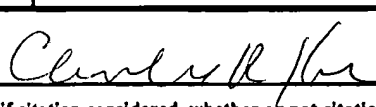
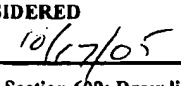
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